

BRIEF CONSULTANCY REPORT
(Oct. 1, 1982 to April 30, 1983)



A. Background

In response to the demand for support for an uplands research program focused at gaining greater understanding of the socio-economic aspects of upland resource management, the International Development Research Centre (IDRC) organized a project identification workshop on September 10, 1982. The workshop was participated by representatives from the Cordillera Studies Center of the UP College at Baguio, the Institute of Philippine Culture of Ateneo de Manila University, the Integrated Research Centre of De La Salle University, the UPLB Program on Environmental Science and Management, the Palawan Integrated Area Development Program, the Agrarian Reform Institute of the UPLB College of Development Economics and Management, and the Foundation for the Development of Marginal Communities. The representatives of the Research Institute for Mindanao Culture of Xavier University, the Forestry Development Center of the UPLB College of Forestry and the Bureau of Forest Development were not able to come due to technical difficulties which resulted from a recent typhoon.

The workshop indicated need for research in areas pertaining to upland problems such as land tenure and resource use, lowland-upland interaction, population movements from uplands to lowlands and vice versa, management and conservation aspects of upland resource system, and upland policy research. It was agreed that participating institutions would develop research proposals along the identified issues. A review meeting would be organized in the early part of 1983 to review the proposals together and to possibly identify some key integrating elements.

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B. Role of the Coordinator

A part-time consultant was employed by IDRC to coordinate the preparation of individual project proposals and to organize the review meeting and the IDRC supported national conference on uplands research. The consultant was to render an equivalent of twenty five (25) days of service from October 1, 1982 to April 30, 1983 with the following as terms of reference:

- a. to act as the coordinator within the Philippines for those institutions which have submitted research proposals to the IDRC on uplands and forestry issues;
- b. to liaise with these institutions specifically in terms of assisting in the development of their research proposals;
- c. to travel within the Philippines as is necessary in order to assist in the development of these proposals;
- d. to take responsibility for all arrangements related to the IDRC-funded meeting in Manila on uplands forestry research; and
- e. to undertake such other assignments as are agreed upon between the consultant and the Centre.

C. Activities Undertaken

The activities undertaken under this consultancy may be classified under two broad categories, namely: coordination in project development and organizing the review meeting and the national conference.

1. Project Development

Various kinds of assistance were extended to participating institutions in the formulation/improvement of their project proposals. These included among others, those proposals which were submitted to IDRC on or before the September 10, 1982 meeting as follows: Case studies on Social Forestry by the Institute of Philippine Culture

(IPC); Upland-Lowland Interaction: The Impact on Upland Life, by the Integrated Research Center (IRC); and the Development of Upland Resource Management System Through Institutional Network, by the UPLB Program on Environmental Science and Management (PESAM).

The proposal submitted by the UPLB College of Forestry on Policy Studies on Upland Development was deemed too broad and unmanageable. Hence the College was advised to zero in on a specific problem in social forestry. The revised proposal which was submitted during the April 9-10 review meeting deals with a study of agroforestry technology in selected regions of the country.

Three proposals were received from Xavier University, two from the Research Institute for Mindanao Culture (RIMCU) and one from the University Extension Center (XUEC). These are: A Community Approach to Amelioration of the Cagayan (Mindanao) River Basin Problems; Perspectives from 300 Meters Up: A study of How Forest Policies Appear to the Region X Upland Farmers; and A Descriptive Study of an Upland Ecological System in Manticao, Misamis Oriental: A Communal Reforestation Project of XUEC. After long discussions with the Director and staff of RIMCU and XUEC, these three proposals were finally integrated into one project proposal called: Perspectives from Three Hundred Meters Up - Forest Policies and the Upland Farmer of Region X.

Interactions with the staff of the Agrarian Reform Institute of the UPLB College of Development Economics and Management led to the development of their proposal called: Land Tenure and Resource Use Among Kaingin Farmers. Efforts to help the Cordillera Studies Center of the U.P. College at Baguio to design a problem-oriented research project did not bear fruit.

2. The Review Meeting

The review meeting, as planned, was held on April 9 to 10, 1983 at the Sulo Hotel in Quezon City. It was participated by representatives from the six proponent institutions and four resource institutions including the IDRC. A complete list of the participants is given in Annex A.

Also included in the report are: Annex B which gives an updated list of the project proposals presented during the meeting; Annex C which outlines the program followed in the review; and Annex D which gives the highlights of the review meeting.

The major decisions reached during the meeting are:

- a. All UPLB institutions, i.e., ARI, DSF and PESAM will integrate their proposals into one package.
- b. The draft of the UPLB proposal as well as the revised proposals from IPC, IRC and XAVIER will be submitted to Ottawa by May 15, 1983.
- c. Drs. David King and Elwood Pye will send reactions to proponents by May 30, 1983.
- d. Final draft of proposals should be in Singapore by July 15, 1983.

3. The National Conference

IDRC is one of the major sponsors of the conference. As indicated in Annex E, the conference brought together close to 150 researchers, field workers and representatives from concerned agencies from all over the country and upland community leaders. The objectives are to review the state of research in the uplands, identify gaps, set research agenda and generate more socially-relevant and action-oriented research activities.

The conference output came in two forms: the upland research agenda (Annex F) and the conference resolution (Annex G).

The conference proceedings is now being put together by a task force created by the BFD Upland Development Working Group.

Prepared by:

R. A. DEL CASTILLO

May 1, 1983

IDRC Project Proposal Review Meeting

Sulo Hotel, Quezon City

April 9 to 10, 1983

LIST OF PARTICIPANTS

A. Proponents

1. Agrarian Reform Institute (ARI), UPLB College of Development Economics and Management
 - a. Dr. Luzviminda Cornista
 - b. Ms. Eva Escueta
2. Department of Social Forestry (DSF), UPLB College of Forestry
 - a. Prof. Felipe V. Cagampang
 - b. Dr. Felix M. Eslava
3. Institute of Philippine Culture (IPC), Ateneo de Manila University
 - a. Mr. Filomeno Aguilar, Jr.
4. Integrated Research Center (IRC), De La Salle Univ.
 - a. Ms. Rosemary M. Aquino
 - b. Ms. Elaine Brown
 - c. Ms. Pilar R. Jimenez
 - d. Mr. Robert Salazar
5. Program on Environmental Science and Management, (PESAM) University of the Philippines at Los Baños
 - a. Dr. Conception Cruz
 - b. Dr. Wilfredo Cruz
 - c. Dean Percy E. Sajise
6. Xavier University
 - a. Dr. Eduardo Canlas, SEARSOLIN
 - b. Fr. Francis Madigan, RIMCU
 - c. Ms. Lita Palma, RIMCU
 - d. Mr. Isaias Sealza, RIMCU

B. Resource Persons

1. Antique Upland Development Program (AUDP)
 - a. Engr. Silvestre Nava
 - b. Atty. Jovy Plameras
2. Bureau of Forest Development (BFD)
 - a. Mr. Edwin Payuan, Social Forestry Division
 - b. Mr. Alejandro Salinas, Jr.

3. Buhi-Lalo Upland Development Program

- a. Mr. Melanio Ailes
- b. Mr. Elmo Drilling

C. IDRC Officials

- 1. Dr. David King
- 2. Dr. Elwood Pye

D. Others

- 1. Dr. Romulo A. del Castillo, Coordinator

Updated List of Project Proposals for IDRC Funding
April 9, 1983

1. ARI - Land Tenure and Resource Use Among Kaingin Farmers (2 years)
2. DSF - A Study of Agroforestry Technology in Selected Regions of the Philippines (2 years)
3. IPC - Case Studies on Social Forestry (1 year)
4. IRC - Upland-Lowland Interaction: The Impact on Upland Development (2 years)
5. PESAM - Development of an Upland Resource Management Institutional Network (2 years)
6. XAVIER - Perspectives from Three Hundred Meters Up: Forest Policies and the Upland Farmer of Region 10 (1 year)

IDRC Project Proposal Review Meeting

Sulo Hotel, Quezon City

April 9 to 10, 1983

PROGRAM

April 9, 1983

- 9:00 a.m. - Remarks and Introduction
- 9:10 a.m. - Brief presentation of project proposals
(5 to 7 minutes each proponent)
- 10:15 a.m. - Break I (individual reading of IPC, IRC,
and Xavier proposals)
- 11:00 a.m. - Detailed discussion of proposals in the
first set (about 25 minutes per proposal)
- 1:15 p.m. - Break for Lunch
- 2:00 p.m. - Break II (individual reading of the ARI,
DSF, and PESAM proposals)
- 3:00 p.m. - Detailed discussion of proposals in the
second set (about 25 minutes per proposal)
- 4:30 p.m. - Organization for Day 2
- 5:30 p.m. - Cocktails

April 10, 1983

- 9:00 a.m. - Plenary session, possibilities for integration
- 9:40 a.m. - Session with IRC
- 10:15 a.m. - Session with Xavier
- 10:45 a.m. - Session with UPLB Group
- 1:00 p.m. - Session with IPC (over lunch)
- 2:30 p.m. - Continuation of Session with UPLB Group
- 3:30 p.m. - Summing-up

HIGHLIGHTS OF THE PRE-CONFERENCE MEETING
AMONG IDRC PROJECT PROPONENTS
SULO HOTEL, QUEZON CITY
APRIL 9-10, 1983

- A. Project Proponent : Institute of Philippine Culture
Ateneo de Manila University
- Research Proposal : Case Studies on Social Forestry
- Research Objectives : To look into the socioeconomic conditions
of those who move into or out of the
forests.
- Research Methodology : 1) Purposive sampling will be used for
site selection
2) Participant observation supplemented
by structured interviews with key
informants and a random sampling of
other residents
- Project Duration : 12 months
- Amount of Funding : ₱178,700.00

Comments

1. The questions raised were:

- a) Can all the factors suggested in the proposal, i.e. migration to the lowland or upland and government intervention or government development scheme, as reasons for the movement in the uplands be captured all in just one site? If not, there is a need to refocus the design to capture more, if not all, of the factors identified in the proposal.
- b) What are the sites chosen and what criteria were used in their selection?

- B. Project Proponent : Integrated Research Center
De La Salle University
- Research Proposal : Upland-Lowland Interaction: The Impact on
Upland Development
- Research Objectives : 1) To study, describe, and analyze the
dynamic interactive processes between
an upland tribal population and the
lowland population, and

- 2) To explicitly describe factors affecting positive and/or negative relationships between a) the upland tribal population and b) lowlanders and agencies and individuals who have intervened in upland development, both socioculturally and environmentally.

Research Methodology : 1) ethnohistorical method
2) fieldwork including participant observation, inventories, network analysis, farm surveys, case study method, and open-ended guided interviews.

Project Duration : Phase I - 12 months
Phase II - 12 months

Amount of Funding : Phase I - CAN\$31,200.00
Phase II - CAN\$38,000.00

Comments and Recommendations

1. The conceptual framework and methodology should be strengthened. There is a heavy emphasis on ethnohistory in the agricultural and socio-cultural aspects rather than resource base and the natural production in the area.
2. In looking at the commodity flow, both sides (upland and lowland) should be looked into giving more focus on the upland and looking at the interventions.
3. A write-up on the workshops should be included in the proposal.
4. The duration of the project should be limited to 18 months as there is no need to break it down into two phases.
5. A more detailed write-up on who will be involved in the project and what their involvement will be should be included in the proposal.
6. The budget should be more detailed especially the personnel cost, per diem and transportation. The editing cost may be included in the budget for report reproduction. All computations should be in Philippine pesos.

Highlights of the Pre-Conference Meeting

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- C. Project Proponent : Agrarian Reform Institute
CDEM, UPLB, College, Laguna
- Research Proposal : Land Tenure and Resource Use Among Kaingin Farmers
- Research Objectives : In general, the study will attempt to find out the tenure arrangements within the kaingin farming system and the access to and utilization of resources among kaingin farmers.
- Research Methodology : 1) Purposive sampling will be used in the choice of the sample areas.
2) Both structured and unstructured interview schedules, as well as participant observation, will be used in data gathering.
- Project Duration : 24 months
- Amount of Funding : ₱468,691.00

Comments:

1. Questions raised on this proposal were:
 - a) What are the research gaps between studies done in the micro-level and research studies done by the Agrarian Reform Institute?
 - b) What research questions is the proposal addressing?
 - c) What is the sample size?
 - d) What will be done with the research output?
 - e) Is it logistically possible for ARI to study the typologies of kaingin farmers and the farming systems adopted by them?

Recommendations:

1. Limit the sites of the study by starting with PESAM areas. Around four (4) representative sites was suggested for manageability.
2. The farming systems aspect of the proposal should be done by the Social Forestry. ARI will concentrate only on tenure issues.
3. Project duration should be reduced to one year.

Highlights of the Pre-Conference Meeting

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4. Structure the proposal in such a way that certain forms of land control, land ownership and land tenure in the uplands are identified and correlate this with specific ways by which upland farmers utilize resources.
5. The normal rate for consultancy in UPLB should be used. Remove the fund for contingency. The budget should be reflected in Philippine pesos.

- D. Project Proponent : Program on Environmental Science and Management (PESAM)
- Research Proposal : Development of an Upland Resource Management Institutional Network
- Research Objectives : To establish a center for coordinating research in upland communities in the Philippines with PESAM as the coordinating agency. The center aims to improve the quality of research undertaken in selected upland regions in the country.
- Research Methodology : The research methodology will include:
1. community appraisal
 2. resource planning
 3. implementation
 4. monitoring and evaluation

Comments

1. Clarification as to what exactly is the nature of the funding requested by PESAM from IDRC. Is it the field research or the comparative evaluation? Indicate also the status of the on-going field research and its funding from other agency. What is the assurance of IDRC that the on-going field research will be completed and that an evaluation can be done.

Recommendations

1. That the three UPLB proposals (ARI, PESAM and Social Forestry) be integrated into one proposal using an over-all framework that will integrate all three studies.
2. Specify the financial administrative cost included in the proposal.
3. Funding will be channeled through UPLB Foundation as one grant for the three studies.

Highlights of the Pre-Conference Meeting

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- E. Project Proponent : University of the Philippines at Los Baños
Department of Social Forestry
College of Forestry
- Research Proposal : A Study of Agro-Forestry Technology in
Selected Regions in the Philippines
- Research Objectives : 1) Identification and inventory of exist-
ing agro-forestry practices in repre-
sentative upland rural areas of Ilocos
region, Southern Tagalog area, Eastern
Visayas and Northern Mindanao.
- 2) Packaging of identified, viable and
appropriate agro-forestry technologies
for eventual dissemination to suitable
areas and publics.
- Research Methodology : Stratified sampling according to types of
climate, slope, crop-tree mixes, ethnic
groups, soil types and other parameters
will be used in doing the inventory.
- Interview schedules and fieldwork will be
undertaken in doing the survey.
- Project Duration : 24 months
- Amount of Funding : ₱717,800.00

Comments

1. Questions raised during the discussion of this proposal were:

- a) What is the social science aspect of the proposal? What
social science research question does it address?

Recommendations

1. The proposal should include an anthropologist in the team.
 - each practice can be discussed in terms of why certain people
or community adopt to particular practice
 - the reasons why a particular agricultural agro-forestry technique
or practice of technologies does not exist in a socio-cultural
vacuum.

They can observe the interaction between socio-cultural environment
and the practice itself and how the practices are developed or sustained.

Highlights of the Pre-Conference Meeting
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2. There is a need to operationalize the proposal especially in relation to tenure.
3. Formulate an operational list of variables, problems anticipated, relationships of technological and socio-economic and tenure variables.
4. The proposals of the Agrarian Reform Institute, Program on Environmental Science and Management and Social Forestry should be integrated into one institutional proposal. In effect, there will be three project leaders but one project coordinator. The suggestion was that Dr. Romulo del Castillo acts as the project coordinator.

F. Project Proponent : Research Institute for Mindanao Culture
Xavier University, Cagayan de Oro City

Research Proposal : Perspectives From Three Hundred Meters Up:
Forest Policies and the Upland Farmer
of Region 10

Research Objectives : The project will study farmers who are
cultivating plots in locations classified
as upland forest areas by the Bureau of
Forest Development (BFD).

The project will study barangays or groups
of such farmers to discover: (1) their
reactions to governmental policies and
activities that bear upon the upland areas
and upon their people; (2) how their
practices in farming contribute to soil
erosion.

Research Methodology : The principal research tools to be used
in the third part of this joint project
are a combination of in-depth and structured
interviews. Participant-observation
procedures will also be used.

Project Duration : 12 months

Amount of Funding : CAN\$51,165.00

Comments and Recommendations

1. The proposal should integrate the three parts and indicate their relationships.
2. The proposal must include how the different departments in Xavier University interact with one another.
3. In the conceptual framework of the study, include the implementors as one of the variables of the study.
4. The background and responsibilities of the principal researchers must be incorporated in the proposal. Instead of having three directors, Fr. Madigan will act as project director and the three become project leaders.
5. The project budget must be in Philippine peso. A breakdown of personnel cost and the Xavier counterpart on items 4 and 5 should be included.
6. A budget for a workshop is acceptable to IDRC if necessary.

ANNEX E***Upland
research
up in gab***

The state of research on upland communities, especially in the areas of upland ethnography, upland poverty, upland farming system and land tenure and displacement was the subject of a three-day national conference on research in the Uplands held at Sulo Hotel in Quezon city, on April 11-13, sponsored by Ford Foundation, the International Development Research Centre, the Asia Foundation, and the Bureau of Forest Development.

The confab brought together some 150 researchers, field workers and representatives from concerned agencies from all over the country and upland community leaders to identify and discuss research gaps, set research agenda and generate more socially-relevant and action-oriented research activities.

The conference is a joint undertaking of the Bureau of Forest Development, UPLB Program for Environmental Science and Management, Ateneo de Manila's Institute of Philippine Culture, De La Salle's Integrated Research Center, UPLB-College of Forestry and other member institutions of the BFD Upland Development Working Group, organized by Director Edmundo V. Cortes of the Bureau of Forest Development.

Upland Research

The relevance of research and the uses of research remain as basic concerns. Research relevant to upland development may be considered as a goal. Such research may be multidisciplinary since much upland development is itself multi-faceted. However, little multidisciplinary research, especially from the academic sectors, has been accomplished to date. Greater interdisciplinary coordination has actually been achieved in upland development projects with clear problem definition, a "people orientation", and clear needs for different types of expertise. Multi-disciplinary research that increases our understanding of the uplands and of the uplanders can be provided by both academicians and project implementors. Variability in the uplands will also necessarily involve research on sampling methods acquired to handle this variability.

Both shorter-term research responsive to immediate needs as well as longer term intensive or longitudinal research is needed. Mechanisms for the feedback of research results to users on "target groups" such as integration of the mechanism into project implementation must be developed. The diversity of upland social and biophysical conditions must be addressed to a greater degree.

List of Identified Research Gaps in Agroecology and Agroforestry

1. Study on indigenous upland farming system/agroforestry and the impact of various options
2. Upland Typology Study
3. Studies on Different Upland Cropping patterns/practices
 - . Compatibility of crops or crops and livestock/fisheries
 - . Follow periods
 - . Economic Studies including Marketing
 - . Ethnobotany
 - . Pests and Diseases
 - . Appropriate Tools
 - . Soil Erosion

Community Appraisal

Community appraisal is necessary to understand particular upland communities on to initiate the process of finding or developing appropriate input strategies. More careful appraisal work needs to be done with the eventual goal of designing workable, straightforward appraisal methodologies for actual field implementors. Shorter on longer-term methodologies are being explored and compared relative to "costs and benefits."

Monitoring and Evaluation

At best, most monitoring and evaluation is done on an informal basis for upland development projects. There is a need to strengthen the process through defining project objectives, establishing success failure criteria, and gathering base-line data to determine project progress. Monitoring and evaluation may also be participatory to allow for people-agency feedback. Larger-context impact assessment is additionally needed. A larger concern is one of getting needed project information to the right place. Work is needed to develop a replicable, standardized, and adaptable methodology.

Technology Generation

A major question is whether or not we have the appropriate upland technologies and the problem is one of dissemination, education, and/or extension, or whether the technologies are not yet adequate for the range of problems faced in the uplands. Thus, to optimize efforts, technologies need to be continually modified for the actual implementors and users. At the same time the development of upland relevant technologies must continue. In search of farmer-appropriate technologies, on farm trials are recommended.

Project Management

Project management is a key variable in the success or failure of development projects, such that research project management is needed. Studies should examine and analyze fund accounting, disbursement, and allocation; manpower selection and management; feedback between different project components; and the eventual phasing-out of external assistance. Participatory management should be explored.

Institutional Linkages

Institutional linkages in support of upland development and research need to be encouraged. This would involve the exchange of ideas, information, expertise, and developed technologies. Suggested is cooperation between working entities, rather than the creation of an overseeing upland research center.

Additional Issues

The following are issues brought up during the conference that require either further discussion or research.

1. In terms of legal issues and land tenure, a court test case has been suggested.
2. Land reform in the uplands (for titled areas) was suggested.
3. Definitions of uplands, uplanders, upland development, and poverty are not yet established to everyone's satisfaction. Whether or not such definitions are possible or even desirable is also an open issue.
4. Methodologies to measure different project social, economic, and ecological costs and benefits (impacts) need to be developed and applied.
5. In dealing with the uplands, all relevant entities must be considered. Loggers and logging activities, for example, should be examined as closely as the upland farmers.
6. Resource competition is significant. How to eventually arrive at an equitable distribution and/or utilization of such resources is a continuing concern.
7. What is the role of the international development/funding agency in the uplands?
8. Research and development ethics and responsibilities are an issue. Can or should a code of ethics be developed for upland workers and researchers?

National Conference on Research in the Uplands
Sulo Hotel, Quezon City
Philippines

R E S O L U T I O N S

We, the organizers and participants of the National Conference on Research in the Uplands, cognizant of the role research plays in the upliftment of the million many Filipinos who are dependent on the uplands for their continued existence and well-being, and cognizant too of the critical role of uplands in the social, economic, political, and environmental welfare of the country, do hereby adopt the following resolutions:

1. A program of research, relevant to upland development and multidisciplinary in nature, should immediately be undertaken.
2. A delivery and feedback system for the results of upland researches should be instituted with target clientele of upland development as the primary beneficiaries.
3. A mechanism for the monitoring of the application of upland research results should be effected, with particular emphasis on participatory and large-context impact assessment.
4. There should be more on-field trials for upland research findings towards generation of location- and situation-specific appropriate technology.
5. There should be a more systematic management strategy for upland development projects ruralizing participation of uplanders themselves.
6. Institutional linkages should be promoted leading to more cost-effective and meaningful multidisciplinary and implementation of appropriate upland projects.
7. Concrete moves should be undertaken to institute reforms in legal aspects of land tenure and resource access affecting uplands and uplanders.
8. Lessons learned from upland research should be incorporated in upland policies.
9. A healthy linkage between upland researches and policy makers/implementors should be established, leading to a more meaningful mechanism for access to information, support and inputs into government policy.